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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/522,120	06/17/2005	Donald G. Wind	160-P-1588USWO	3747
23322	7590	10/15/2008	EXAMINER	
IPLM GROUP, P.A.			HEINCER, LIAM J	
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**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b> 10/522,120	<b>Applicant(s)</b> WIND ET AL.	
	<b>Examiner</b> Liam J. Heincer	<b>Art Unit</b> 1796	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 14 July 2008.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-41 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-41 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)                     | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____                                      |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)          | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____  | 6) <input type="checkbox"/> Other: _____                          |

## DETAILED ACTION

### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).

Claims 1-18, 21-25, and 27-29 are rejected under 35 U.S.C. 103(a) as being unpatentable over Swarup et al. (US Pat. 6,087,464).

Considering Claim 1: Swarup et al. teaches a coating composition (2:15-18) comprising an alkyd resin with a polydispersity of greater than 1/less than 2 (11:34-41) that is the reaction product of a polyester component (13:38-42) and a fatty acid component (13:53-65) that is preferably saturated (13:65-67); and a amino resin crosslinker (14:34-39). Swarup et al. also teaches the composition as having low discoloration/being substantially color stable (10:18-20).

Swarup et al. teaches a polydispersity greater than 1. This overlaps with the claimed range of less than about 2. In the case where the claimed ranges “overlap or lie inside ranges disclosed by the prior art” a *prima facie* case of obviousness exists. *In*

*re Wertheim*, 541 F.2d 257, 191 USPQ 90 (CCPA 1976); *In re Woodruff*, 919 F.2d 1575, 16 USPQ2d 1934 (Fed. Cir. 1990). See MPEP § 2144.05.

The Office realizes that all of the claimed effects or physical properties are not positively stated by the reference(s). However, the reference(s) teaches all of the claimed ingredients. Therefore, the claimed effects and physical properties, i.e. the color stability, would implicitly be achieved by a composition with all the claimed ingredients. If it is the applicant's position that this would not be the case: (1) evidence would need to be provided to support the applicant's position; and (2) it would be the Office's position that the application contains inadequate disclosure that there is no teaching as to how to obtain the claimed properties with only the claimed ingredients.

Considering Claims 2-4, 29, and 30: The Office realizes that all of the claimed effects or physical properties are not positively stated by the reference(s). However, the reference(s) teaches all of the claimed ingredients. Therefore, the claimed effects and physical properties, i.e. the change in the b color component or the flexibility, would implicitly be achieved by a composition with all the claimed ingredients. If it is the applicant's position that this would not be the case: (1) evidence would need to be provided to support the applicant's position; and (2) it would be the Office's position that the application contains inadequate disclosure that there is no teaching as to how to obtain the claimed properties with only the claimed ingredients.

Considering Claims 5 and 6: Swarup et al. teaches the coating composition as having a VOC content of less than 2.0 lbs/gal/0.25 kg/L (7:4-20).

Considering Claims 7 and 8: Swarup et al. teaches the alkyd resin being present in an amount of 15 to about 75 weight percent of the composition (4:11-14).

Considering Claim 9: Swarup et al. teaches alkyd resin having a number average molecular weight of from 500 to 20,000 (13:35-42).

Considering Claim 10: Swarup et al. teaches an embodiment with 75% solids content (7:4-6).

Considering Claims 11-13: Swarup et al. teaches the polyester being a reaction product of an aliphatic polyol and an acid that is preferably phthalic anhydride, isophthalic acid, succinic acid, or adipic acid (13:43-52).

Art Unit: 1796

Considering Claims 14 and 15: Swarup et al. teaches the diols as being a mixture (11:65-66) of neopentyl glycol and trimethylol propane (11:66-12:13).

Considering Claim 16: Swarup et al. teaches the fatty acid as coming from animal or vegetable fats or oils/being naturally occurring (13:57).

Considering Claims 17 and 18: Swarup et al. teaches the fatty acid as being selected from palmitic, lauric, stearic, carpic, carpylic, or mystERIC acid or mixtures thereof (13:60-65).

Considering Claims 21-23: Swarup et al. teaches amino crosslinker as being melamine formaldehyde (4:50-60) and being present in an amount of 5 to 55 weight percent (4:14-19).

Considering Claim 24: Swarup et al. teaches the composition as comprising a mixture of an alkyd resin and an epoxy component as the polyol of the composition (Claim 18).

Considering Claim 25: Swarup et al. teaches the composition as comprising a solvent that can be a ketone, xylene or an alcohol (15:66-16:17).

Considering Claim 27: Swarup et al. teaches the composition as comprising BYK 301 and 302/silicone resins as flow control agents (17:59).

Considering Claim 28: Swarup et al. teaches an acid catalyst that is p-toluene sulfonic acid or dodecylbenzene sulfonic acid (17:1-10).

Claims 31-37 and 40 are rejected under 35 U.S.C. 103(a) as being unpatentable over Swarup et al. (US Pat. 6,087,464).

Considering Claims 31-33: Swarup et al. teaches a coating composition (2:15-18) comprising an alkyd resin with a polydispersity of greater than 1/less than 2 (11:34-41) that is the reaction product of a polyester component (13:38-42) and a fatty acid component (13:53-65) that is preferably saturated (13:65-67). Swarup et al. teaches the polyester being a reaction product of an aliphatic polyol and an acid that is preferably phthalic anhydride, isophthalic acid, succinic acid, or adipic acid (13:43-52) and the alkyd resin having a number average molecular weight of from 500 to 20,000 (13:35-42).

Swarup et al. teaches a polydispersity greater than 1. This overlaps with the claimed range of less than about 2. In the case where the claimed ranges “overlap or lie inside ranges disclosed by the prior art” a *prima facie* case of obviousness exists. *In re Wertheim*, 541 F.2d 257, 191 USPQ 90 (CCPA 1976); *In re Woodruff*, 919 F.2d 1575, 16 USPQ2d 1934 (Fed. Cir. 1990). See MPEP § 2144.05.

Considering Claims 34 and 35: Swarup et al. teaches the diols as being a mixture (11:65-66) of neopentyl glycol and trimethylol propane (11:66-12:13).

Considering Claims 36 and 37: Swarup et al. teaches the fatty acid as being selected from palmitic, lauric, stearic, carpic, carpylic, or myseric acid or mixtures thereof (13:60-65).

Considering Claim 39: Swarup et al. also teaches composition as having a low viscosity (6:13-36).

Swarup et al. does not teach the alkyd resin having the claimed viscosity. However, “where the general conditions of a claim are disclosed in the prior art, it is not inventive to discover the optimum or workable ranges by routine experimentation.” *In re Aller*, 220 F.2d 454, 456, 105 USPQ 233, 235 (CCPA 1955). As viscosity controls the processability of a coating, it is recognized in the art as a result effective variable. It would have been obvious to a person having ordinary skill in the art at the time of invention to have to have optimized the viscosity through routine optimization, and the motivation to do so would have been, as Swarup et al. suggests, to provide a high solids content coating with low VOC (6:27-36).

Considering Claim 40: Swarup et al. teaches an embodiment with 75% solids content (7:4-6).

Claim 41 is rejected under 35 U.S.C. 103(a) as being unpatentable over Swarup et al. (US Pat. 6,087,464).

Considering Claim 41: Swarup et al. teaches a steel panel/metal substrate coated with a a coating composition (2:15-18) comprising an alkyd resin with a polydispersity of greater then 1/less than 2 (11:34-41) that is the reaction product of a polyester component (13:38-42) and a fatty acid component (13:53-65) that is preferably

Art Unit: 1796

saturated (13:65-67); and a amino resin crosslinker (14:34-39). Swarup et al. also teaches the composition as having low discoloration/being substantially color stable (10:18-20). Swarup et al. also teaches the alkyd resin as having a number average molecular weight of from 500 to 20,000 (13:35-42).

Swarup et al. teaches a polydispersity greater than 1. This overlaps with the claimed range of less than about 2. In the case where the claimed ranges “overlap or lie inside ranges disclosed by the prior art” a *prima facie* case of obviousness exists. *In re Wertheim*, 541 F.2d 257, 191 USPQ 90 (CCPA 1976); *In re Woodruff*, 919 F.2d 1575, 16 USPQ2d 1934 (Fed. Cir. 1990). See MPEP § 2144.05.

Claims 19 and 20 are rejected under 35 U.S.C. 103(a) as being unpatentable over Swarup et al. (US Pat. 6,087,464) as applied to claim 1 above, and further in view of Sodhi (US Pat. 5,269,839).

Considering Claims 19 and 20: Swarup et al. teaches the composition of claim 1 as shown above.

Swarup et al. does not teach the acid number as being as claimed. However, Sodhi teaches an alkyd resin for coatings that has an acid number of between 5 and 10 (2:29-43). Swarup et al. and Sodhi are analogous art as they are concerned with the same field of endeavor, namely alkyd resin coatings. It would have been obvious to a person having ordinary skill in the art at the time of invention to have used an alkyd resin with the acid number of Sodhi in the coating of Swarup et al., and the motivation to do so would have been, as Sodhi suggests to provide a clear resin (1:23).

Claim 26 is rejected under 35 U.S.C. 103(a) as being unpatentable over Swarup et al. (US Pat. 6,087,464) as applied to claim 1 above, and further in view of Kuo et al. (US Pat. 2002/0147270).

Considering Claim 26: Swarup et al. teaches the composition of claim 1 as shown above. Swarup et al. also teaches adding a flow control agent to the composition (17:59).

Swarup et al. does not teach the composition as comprising a wax. However, Kuo et al. teaches adding a polyolefin/polyethylene wax (¶0070) to an alkyd resin coating (abstract). Swarup et al. and Hall are analogous art as they are concerned with the same field of endeavor, namely alkyd resin coatings. It would have been obvious to a person having ordinary skill in the art at the time of invention to have added the wax of Kuo et al. to the coating of Swarup et al., and the motivation to do so would have been, as Kuo et al. suggests, polyolefin waxes are well known flow control agents (¶0070).

Claim 38 is rejected under 35 U.S.C. 103(a) as being unpatentable over Swarup et al. (US Pat. 6,087,464) as applied to claim 31 above, and further in view of Sodhi (US Pat. 5,269,839).

Considering Claim 38: Swarup et al. teaches the composition of claim 31 as shown above.

Swarup et al. does not teach the acid number as being as claimed. However, Sodhi teaches an alkyd resin for coatings that has an acid number of between 5 and 10 (2:29-43). Swarup et al. and Sodhi are analogous art as they are concerned with the same field of endeavor, namely alkyd resin coatings. It would have been obvious to a person having ordinary skill in the art at the time of invention to have used an alkyd resin with the acid number of Sodhi in the coating of Swarup et al., and the motivation to do so would have been, as Sodhi suggests, the low acid value shows that the reaction between the polyester and the fatty acid has gone to completions (2:29-43).

Claim 39 is rejected under 35 U.S.C. 103(a) as being unpatentable over Swarup et al. (US Pat. 6,087,464) as applied to claim 31 above.

Considering Claim 39: Swarup et al. teaches the composition of claim 31 as shown above. Swarup et al. also teaches composition as having a low viscosity (6:13-36).

Swarup et al. does not teach the alkyd resin having the claimed viscosity. However, it is well known in the art to optimize result effective variables such as viscosity. It would have been obvious to a person having ordinary skill in the art at the time of invention to have used a resin with the claimed viscosity, and the motivation to



do so would have been, as Swarup et al. suggests, to provide a high solids content coating with low VOC (6:27-36).

### ***Response to Arguments***

Applicant's arguments, see pages 9-15, filed July 14, 2008, with respect to the rejection(s) of claim(s) 1-18, 21-25, 27-29, 31-37, 40, and 41 under 35 U.S.C. § 102(b) have been fully considered and are persuasive. Therefore, the rejection has been withdrawn. However, upon further consideration, a new ground(s) of rejection is made in view of Swarup et al. under 35 U.S.C. § 103(a).

Applicant's arguments filed July 14, 2008 have been fully considered but they are not persuasive, because:

A) Applicants argument that Swarup et al. teaches a plurality of diols and triols is not persuasive. As Swarup et al. teaches using one or more polyols from a list including neopentyl glycol and trimethylol propane (11:66-12:13), a person having ordinary skill in the art at the time of invention would have found the combination of the two polyols to be obvious. As there is no evidence to show that the combination produces new or unexpected results, claim 15 is considered to be prima facie obvious.

B) In response to applicant's argument that there is no suggestion to combine the Swarup et al. and Sodhi references, the examiner recognizes that obviousness can only be established by combining or modifying the teachings of the prior art to produce the claimed invention where there is some teaching, suggestion, or motivation to do so found either in the references themselves or in the knowledge generally available to one of ordinary skill in the art. See *In re Fine*, 837 F.2d 1071, 5 USPQ2d 1596 (Fed. Cir. 1988) and *In re Jones*, 958 F.2d 347, 21 USPQ2d 1941 (Fed. Cir. 1992). In this case, it would have been obvious to a person having ordinary skill in the art at the time of invention to have used an alkyd resin with the acid number of Sodhi in the coating of Swarup et al., and the motivation to do so would have been, as Sodhi suggests, the low acid value shows that the reaction between the polyester and the fatty acid has gone to completions (2:29-43)..

***Correspondence***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Liam J. Heincer whose telephone number is 571-270-3297. The examiner can normally be reached on Monday thru Friday 7:30 to 5:00 EST.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Mark Eashoo can be reached on 571-272-1197. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Mark Eashoo, Ph.D./

Supervisory Patent Examiner, Art Unit 1796

14-Oct-08

LJH

September 29, 2008